

# Complete Commercialization Survey - SBIR

## 1 Introduction

The SBIR Office within the Office of Science creates Commercialization Survey requests for SBIR/STTR institutions that have received project funding within a specified period of time. The surveys are intended to show the SBIR Office how the funds provided have resulted in commercialized products.

The purpose of this document is to provide step-by-step instructions for users to follow to complete a Commercialization Survey.

## 2 Prerequisites

Before a Commercialization Survey can be submitted, the following criteria must be met:

- A Commercialization Survey task has been created.
- PAMS sent an email to the SRO/BO/AO requesting completion of a Commercialization Survey.

## 3 Completing a Commercialization Survey

Use the following steps to complete and submit a Commercialization Survey.

### 3.1 Accessing a Commercialization Survey

Use the following steps to access the Commercialization Survey task.

#### 3.1.1 Existing Account

Use the following steps to access the Commercialization Survey task if the SRO/BO/AO has a PAMS account.

1. PAMS will send an email notification to the SRO/BO/AO indicating that the task has been created (*Figure 1*).

<b>To:</b>	BO
<b>CC:</b>	
<b>From:</b>	PAMS
<b>Subject:</b>	Submit Commercialization Survey to DOE Office of Science in PAMS
<b>Message:</b>	<p>Dear [SRO First Name] [SRO Last Name]:</p> <p>The Small Business Innovation Research/Small Business Technology Transfer Programs (SBIR/STTR) within the Department of Energy Office of Science requests that you access your Submit Commercialization Survey task in PAMS, complete it, and submit it to DOE. To access the submission, please use the DOE Office of Science <a href="#">Portfolio Analysis and Management System (PAMS)</a>.</p> <p><b>Task:</b> Submit Commercialization Survey [Link]  <b>Survey Tracking Number:</b> [ Tracking Number]  <b>Due Date:</b> [Task Due Date MM/DD/YYYY, HH:MM AM/PM ET]  <b>Institution:</b> [Institution Name], [City], [State Abbr.]  <b>DUNS:</b> [DUNS]</p> <p>You can access the Commercialization Survey by logging in to PAMS and clicking on the Tasks tab. If you have trouble using PAMS, consult the “External User Guide” on the PAMS website or contact the PAMS Helpdesk at (855) 818-1846 (toll-free number) or (301) 903-9610 or <a href="mailto:sc.pams-helpdesk@science.doe.gov">sc.pams-helpdesk@science.doe.gov</a>.</p> <p>This message was sent on behalf of the SBIR/STTR Programs Office, who can be reached at <a href="mailto:sbir-sttr@science.doe.gov">sbir-sttr@science.doe.gov</a> . Replies to this message will not reach the intended recipient.</p>

Figure 1. PAMS Email Notifications – Existing SRO/BO/AO Commercialization Survey Task

2. On the Guide Me page, click the Tasks tab to go to the Pending Tasks – List page (Figure 2). **OR** From any PAMS page, click the **Commercialization Survey** link in the left navigation menu to go to the Commercialization Survey – List page (Figure 3).

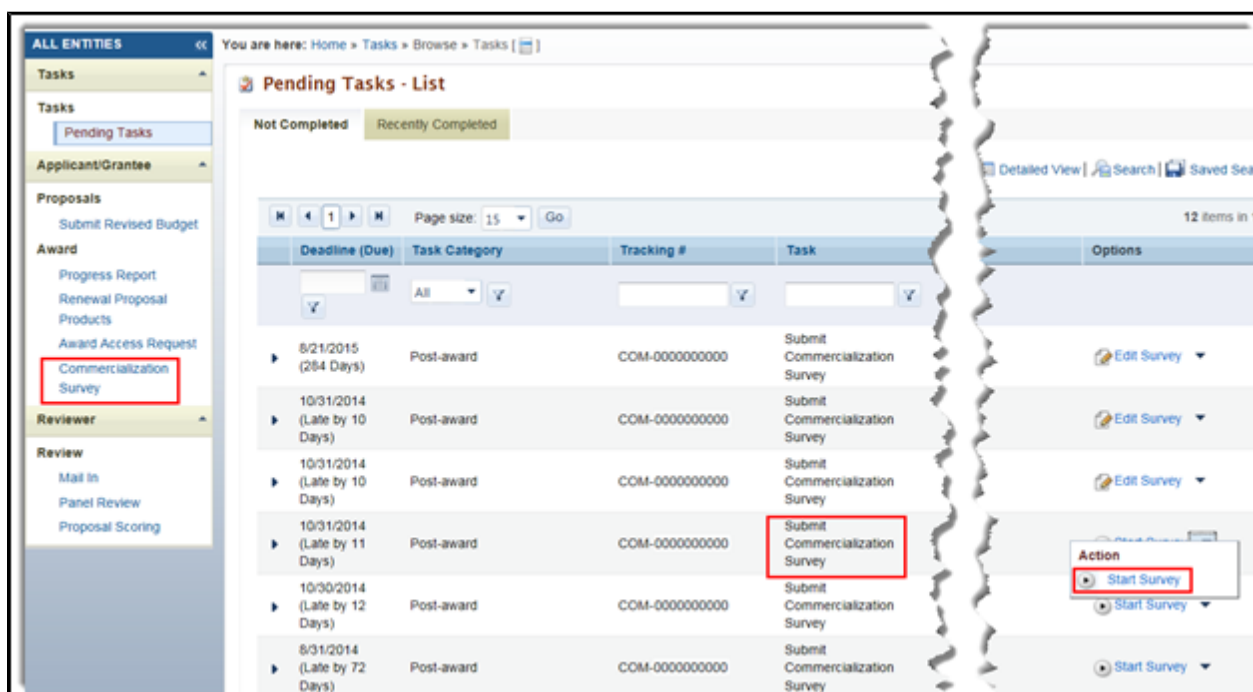


Figure 2. Pending Tasks – List Page, Submit Commercialization Survey Task, Start Survey

3. From either List page, find the Submit Commercialization Survey task you want and click the **Start Survey** link (Figure 2, Figure 3). If necessary, click the **Search** link on the right above the grid to find a specific Commercialization Survey task to work on.

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### Commercialization Survey - List

This page lists the Commercialization Surveys that are due along with their submission deadlines. If you want to view a specific survey, click on the survey number.

[Detailed View](#) | [Search](#) | [Save](#)

Page size: 15 Go

Due In	Submission Deadline	DUNS Number	In Progress Number	Status	Options
93 Days Late	08/09/2014	000000000	000000000	In Progress	<a href="#">Edit Survey</a>
74 Days Late	08/28/2014	000000000	000000000	Not Started	<a href="#">Start Survey</a>
72 Days Late	08/30/2014	000000000	000000000	Not Started	<a href="#">Start Survey</a>
71 Days Late	08/31/2014	000000000	000000000	Not Started	<a href="#">Start Survey</a>
11 Days Late	10/30/2014	000000000	000000000	Not Started	<a href="#">Start Survey</a>
10 Days Late	10/31/2014	000000000	000000000	Not Started	<a href="#">Start Survey</a>
10 Days Late	10/31/2014	000000000	000000000	In Progress	<a href="#">Edit Survey</a>
10 Days Late	10/31/2014	000000000	000000000	In Progress	<a href="#">Edit Survey</a>
284 Days	08/21/2015	000000000	000000000	In Progress	<a href="#">Edit Survey</a>

Figure 3. Commercialization Survey – List Page, Start Survey

### 3.1.2 No Existing Account

Use the following steps if the SRO/BO/AO does not have an existing PAMS account.

1. If the SRO/BO/AO does not have an account, PAMS will send an email notification to the SRO/BO/AO indicating that the task has been created, and provide a registration link and code (Figure 4). Click the **I do not have a PAMS account** link.

<b>To:</b>	Invitee
<b>CC:</b>	
<b>From:</b>	PAMS
<b>Subject:</b>	Submit Commercialization Survey to DOE Office of Science in PAMS
<b>Message:</b>	<p>Dear [Invitee First Name] [Invitee Last Name]:</p> <p>The Small Business Innovation Research/Small Business Technology Transfer Programs (SBIR/STTR) within the Department of Energy Office of Science requests that you access your Submit Commercialization Survey task in PAMS, complete it, and submit it to DOE. To access the submission, please use the DOE Office of Science Portfolio Analysis and Management System.</p> <p>To use PAMS, click on the appropriate link below and enter the registration code that follows. Note that two links are provided, one to use if you already have a PAMS account and one to use if you do not.</p> <p><b>Links:</b></p> <p><a href="#">I already have a PAMS account.</a> &lt;NOTE: Verify Registration Code URL, with "has account" in query string&gt;</p> <p>or</p> <p><a href="#">I do not have a PAMS account.</a> &lt;NOTE: Verify Registration Code URL&gt;</p> <p><b>Registration Code:</b> [Registration Code]</p> <p><b>Task:</b> Submit Commercialization Survey  <b>Task Owner(s):</b> [Task Owner(s)]  <b>Survey Tracking Number:</b> [Tracking Number]  <b>Due Date:</b> [Submission Deadline Date]  <b>Institution:</b> [Institution Name], [Institution City], [Institution State Abbr.]  <b>DUNS:</b> [DUNS]</p> <p>You can access the Commercialization Survey by logging in to PAMS and clicking on the Tasks tab. If you have trouble using PAMS, consult the "External User Guide" on the PAMS website or contact the PAMS Helpdesk at [PAMS Helpdesk Phone Number] or [PAMS Helpdesk Email].</p> <p>This message was sent on behalf of the SBIR/STTR Programs Office, who can be reached at <a href="mailto:sbir-sttr@science.doe.gov">sbir-sttr@science.doe.gov</a>. Replies to this message will not reach the intended recipient.</p>

Figure 4. PAMS Email Notifications – SRO/BO/AO Does Not Have an Existing Account

2. Enter the registration code on the Verify Registration Code page, and click **Verify** (Figure 5).

Figure 5. Verify Registration Code Page

3. Complete the account creation process. (Step-by-step instructions for account creation can be found in the External User – Create Account training module.)
4. Begin at Step 2 in section 1.1 *Existing Account* to access the Commercialization Survey task after creating the account.

## 3.2 General Information Section

Use the following steps to complete the General Information section of the Commercialization Survey.

1. The Commercialization Survey – Status page displays the status of the General Information and Awards sections in both the left navigation menu and in the Commercialization Survey Status section of the page itself (Figure 6).

Section	Status	Options
General Information	Not Started	<a href="#">Update</a>
Awards	Not Started	<a href="#">Update</a>

Figure 6. Commercialization Survey – Status Page, Commercialization Survey Status, Update

2. Click the **Update** link to navigate to the Commercialization Survey – General Information page.

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Wednesday 12<sup>th</sup> August 2020 08:33:12 P.M.

ALL FUNCTIONS

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Review

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Commercialization Survey - General Information

Fill in the fields as necessary. Under the Choose Action dropdown, select the Save option to retain the work you have completed so far and stay on this page. (+ View More)

Note(s):

If the Institution address displayed below needs to be updated, please do so from the 'Update Institution Profile' page.

[Institution Name, City, State]

DUNS Number: 000000000

Submission Deadline: 9/30/2016 12:00 AM ET

Created On: 8/24/2016

DOE Contact: [LastName, FirstName]

DOE Contact Email: [Email Address]

DOE Contact Phone: 000-000-0000

Last Updated By: [LastName, FirstName] on 8/12/2020

Resources

View

Instructions

OMB Number: 0000-0000

Expiration: 00-00-0000

Status: Not Started

Fields with \* are required

Small Business Concern (SBC) Information

Institution Name

[Institution Name]

DUNS Number

000000000

Institution Address

[Institution Address]

\* Website

\* Year Founded

\* Number of Employees

Commercialization Information

\* Have any patents or copyrights resulted from ANY SBIR/STTR funding to your SBC?

Yes

No

If Yes, total number of Patents

If Yes, total number of Copyrights

\* Since receiving SBIR/STTR funding has your SBC completed an Initial Public Offering (IPO) that resulted, in part, of technology your SBC developed under the DOE SBIR/STTR Programs?

Yes

No

If Yes, give year of IPO

If Yes, estimated value of IPO

\$

\* Has your SBC been acquired as a result of work conducted under DOE SBIR/STTR funding?

Yes

No

If Yes, what is the year it was acquired?

If Yes, give dollar value of acquisition

\$

\* Has your SBC produced any spin-off companies?

Yes

No

Add Spin-offs

Spin-offs

Number

If Yes, year spin-off was started

If Yes, name of spin-off

Options

\* SBC Total Federal SBIR/STTR Related Sales

\$

\* SBC Total Federal SBIR/STTR Investment

\$

Go to Previous Page

Choose Action

Go

Figure 7. Commercialization Survey – General Information Page

- The first three fields under the Small Business Concern (SBC) Information section are prepopulated from the Institution Profile in PAMS (Figure 7).
- Refer to the table below to complete the required fields on the rest of the Commercialization Survey – General Information page.

#### Required Fields

Element	Description
Website	Enter the institution's website URL.
Year Founded	Enter the year (YYYY) the institution was founded.

<i>Number of Employees</i>	Enter the number of employees at the institution.
<i>Have any patents or copyrights resulted from ANY SBIR/STTR funding to your SBC?</i>	Select the <b>Yes</b> or <b>No</b> radio button. If <b>Yes</b> applies to either or both, enter the total number of patents or copyrights in the fields provided.
<i>Since receiving SBIR/STTR funding has your SBC completed an Initial Public Offering (IPO) that resulted, in part, of technology your SBC developed under the DOE SBIR /STTR Programs?</i>	Select the <b>Yes</b> or <b>No</b> radio button. If <b>Yes</b> applies, enter the IPO year and estimated value.
<i>Has your SBC been acquired as a result of work conducted under DOE SBIR/STTR funding?</i>	Select the <b>Yes</b> or <b>No</b> radio button. If <b>Yes</b> applies, enter the year the SBC was acquired and the dollar value of the acquisition.
<i>Has your SBC produced any spin-off companies?</i>	Select the <b>Yes</b> or <b>No</b> radio button. If <b>Yes</b> applies, enter the year the spin-off was started and its name.
<i>SBC Total Federal SBIR/STTR Related Sales</i>	Enter the appropriate dollar amount.
<i>SBC Total Federal SBIR/STTR Investment</i>	Enter the appropriate dollar amount.

5. When finished, click the **Choose Action** dropdown and select either **Save**, **Save and Continue**, or **Mark as Complete**. When you have made your selection, click the **Go** button to be taken to the Commercialization Survey – Awards page (*Figure 8*).

6. Click the **Go to Previous Page** button to return to the Commercialization Survey – Status page.

### 3.3 Awards Section

Use the following steps to complete the Awards section of the Commercialization Survey.

1. Clicking the Commercialization Survey Status **Update** link on the Commercialization Survey – Status page (*Figure 6*) takes you to the Commercialization Survey – Awards page (*Figure 8*).

*Figure 8. Commercialization Survey – Awards Page, Edit, Continue, Mark as Complete*

2. Click **Edit** in the Options column to go to the Commercialization Survey – Edit Award page.

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ALL FUNCTIONS

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You are here: Home » Tasks » Browse » Applicant/Grantee [ ] » Commercialization Survey » Awards

Commercialization Survey - Edit Award

Fill in the fields as necessary. Under the Choose Action dropdown, select the Save option to retain the work you have completed so far and stay on this page. (+ View More)

[Institution Name, City, State]

DUNS Number: 000000000

Submission Deadline: 9/30/2016 12:00 AM ET

Created On: 8/24/2016

DOE Contact: [LastName, FirstName]

DOE Contact Email: [Email Address]

DOE Contact Phone: 000-000-0000

Last Updated By: [LastName, FirstName] on 8/12/2020

Resources

View

Instructions

OMB Number: 0000-0000

Expiration: 00-00-0000

Award Information

Project Title: [Project Title]

Award Number: DE-000000000

PI Name: [LastName, FirstName]

Fields with \* are required

Project Related Information

\* Award/Project Short Description/Abstract

[Description]

Number of patents related to award (if any)

Sales and Revenue

\* Sales to Private Industry (SP)

\$

\* Sales to Federal Entity or Prime Contractor (SF)

\$

\* Sales to Other (SO)

\$

\* Licensing Revenue

\$

Total Project/Award Sales and Revenue

\$ 0.00

Calculate

\* Describe how this technology was commercialized and its effects on SBC

Approximately 1 page (Max 2000 Characters without spaces): 2000 Characters left.

\* Has a product with this technology been launched?

Yes

No

Add Products

Products

Number

If Yes, what is the name of that product?

Does your product or components of your product require manufacturing?

If you responded yes to the previous question, is manufacturing executed substantially (50% or more) in the U.S.?

Options

Investment

\* SBC Self-Investment (IS)

\$

\* Investment from Non-SBIR Federal Entity or Prime Contractor (IF)

\$

\* Angel Investment (AI)

\$

\* Venture Capital Investment (VC)

\$

\* Other Investment (OI)

\$

If Other Investment is provided, please specify other source of investment

Total Project/Award Investment

\$ 0.00

Calculate

Cancel

Choose Action Go

Figure 9. Commercialization Survey – Edit Award Page

Required Fields



Element	Description
Award/Project Short Description /Abstract	Project description
Sales to Private Industry (SP)	This figure includes all small business sales to non-federal, state, and local government entities resulting in part or in full from the commercialization of the DOE SBIR/STTRfunded technology.
Sales to Federal Entity or Prime Contractor (SF)	This figure includes all small business sales of the DOE SBIR/STTRfunded project technology to federal entities, including its prime contractors and national laboratories.
<i>Sales to Other (SO)</i>	This figure includes all small business sales of the DOE SBIR/STTRfunded project technology to non-federal entities, such as foreign, state, and/or local governments.
<i>Licensing Revenue</i>	This figure includes all income earned by your small business for allowing its copyrighted or patented material developed in part or in full due to DOE SBIR/STTR funding to be used by another company or entity.
<i>Describe how this technology was commercialized and its effect on SBC</i>	Describe the impact on your small business from the successful commercialization of the DOE SBIR/STTR funded technology.
<i>Has a product with this technology been launched?</i>	Select the <b>Yes</b> or <b>No</b> radio button.
<i>SBC Self-Investment (IS)</i>	This figure includes funds owned by the small business or one or more small business owners and invested back into the company.
<i>Investment from Non-SBIR Federal Entity or Prime Contractor (IF)</i>	This figure includes funds provided by a federal program or entity primarily funded by the federal government with or without an interest in your company.
<i>Angel Investment (AI)</i>	This figure includes funding from an individual, group, or network of like-minded individuals providing capital to your small business. This support may be in exchange for ownership equity for your small business.
<i>Venture Capital Investment (VC)</i>	This figure includes funding from an investment group providing capital to your small business, usually in exchange for ownership equity or control in your company.
<i>Other Investment (OI)</i>	This figure includes funds provided by none of the preceding investors that may or may not have a controlling interest in your small business; e.g., gifts or loans from family and friends.

3. Update the award information as needed.
4. When you are finished, click the **Choose Action** dropdown and select the **Mark as Complete**
5. Click the **Go** A Success message informs you that the Edit Award page was successfully marked as complete.
6. Repeat Steps 16 for any other awards that do not have a status of "Complete".
7. Once all the awards on the Commercialization Survey – Awards page are complete, select **Mark as Complete** from the dropdown and click **Go**.

## 3.4 Editing an In Progress Commercialization Survey

Use the following steps to edit a Commercialization Survey that has already been started.

1. Once a Commercialization Survey has been started, you have the ability to save it and return to it at a later time. Navigate to the Pending Tasks – List page from the Tasks tab to access an incomplete Commercialization Survey (*Figure 10*).
2. Find the Submit Commercialization Survey task, and click **Edit Survey** in the Options column.

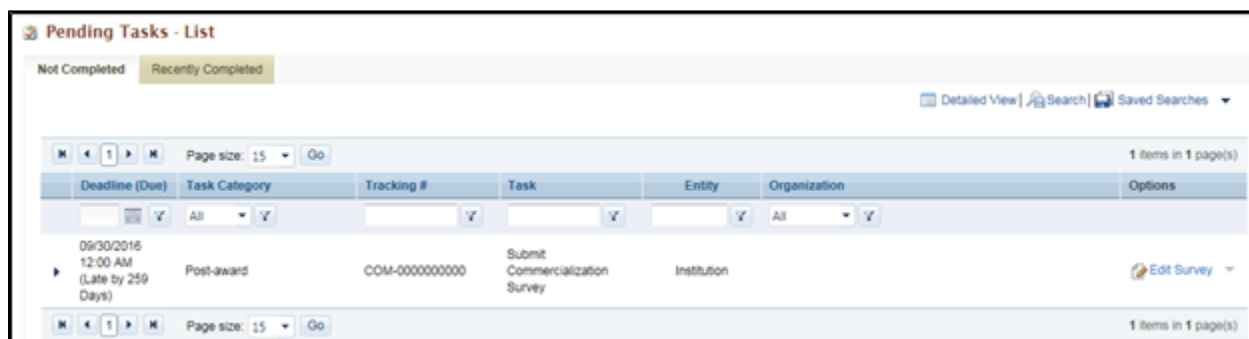


Figure 10. Pending Tasks – List Page

3. Follow the steps for completing a Commercialization Survey (Sections 3.1-3.3).

### 3.5 Submitting a Commercialization Survey

Use the following steps to submit a completed Commercialization Survey to DOE.

1. Once all of the sections are marked as complete, click **Submit** in the bottom right corner (*Figure 11*).




**Commercialization Survey - Submit**

From this page, you can submit your survey to DOE. If necessary, before submitting the survey, you can make changes to it. To do so, click the Update button for the (- View More)

► [Institution Name, City, State]

► Resources 12

Commercialization Survey Status		
Section	Status	Options
General Information	Complete ✓	 Update
Awards	Complete ✓	 Update

[Go to Previous Page](#) [Submit](#)

*Figure 11. Commercialization Survey – Submit Page*

2. You will receive a Success message indicating that your submission was successful.